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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/960,312 | 10/01/2001 | Yuji Kaneko | 743421-0044 |

CONFIRMATION NO. 3611

FORMALITIES LETTER



OC000000007092281

22204
NIXON PEABODY, LLP
8180 GREENSBORO DRIVE
SUITE 800
MCLEAN, VA 22102

Date Mailed: 11/19/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$174.
 - \$90 for 5 total claims over 20.
 - \$84 for 1 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1044.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

12/17/2001 RECEIVED 00080035 00000000

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PART 2 - COPY TO BE RETURNED WITH RESPONSE

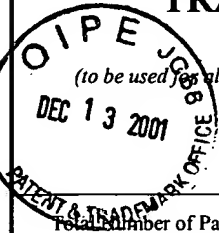
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

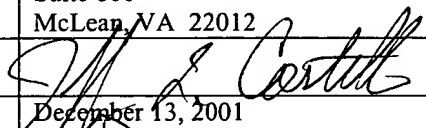
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| | | |
|--|------------------------|---------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing)  | Application Number | 09/966,743 |
| | Filing Date | October 1, 2001 |
| | First Named Inventor | Yuji KANEKO, et al. |
| | Group Art Unit | 1742 |
| | Examiner Name | |
| Total Number of Pages in This Submission | Attorney Docket Number | 743421-44 |

ENCLOSURES (check all that apply)

| | | |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 w/executed Declaration and updated Data Sheet | <input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Other |
| Remarks | | <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number. |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | Jeffrey L. Costellia Nixon Peabody LLP 8180 Greensboro Drive Suite 800 McLean, VA 22012 |
| Signature |  |
| Date | December 13, 2001 |

CERTIFICATE OF MAILING

| | |
|--|------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: | |
| Type or printed name | |
| Signature | Date _____ |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

**FEE TRANSMITTAL
FOR FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

| | |
|----------------------|--------------------|
| Application Number | 09/966,743 |
| Filing Date | October 1, 2001 |
| First Named Inventor | Yuji KANEKO et al. |
| Examiner Name | |
| Group Art Unit | 1742 |
| Attorney Docket No. | 743421-44 |

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-2380

Deposit Account Name Nixon Peabody LLP

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | 740.00 |
| 106 330 | 206 165 | Design filing fee | |
| 107 510 | 207 255 | Plant filing fee | |
| 108 740 | 208 370 | Reissue filing fee | |
| 114 160 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$740.00)

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------------|
| 25 | -20** = 5 | X 18 | = \$90.00 |
| Independent Claims | 4 | -3** = 1 | X 84 = \$84.00 |
| Multiple Dependent | | | |

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------|-----------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 84 | 202 42 | Independent claims in excess of 3 |
| 104 280 | 204 140 | Multiple dependent claim, if not paid |
| 109 84 | 209 42 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$174.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105 130 | 205 65 | | | Surcharge - late filing fee or oath | 130.00 |
| 127 50 | 227 25 | | | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | | | Non-English transaction | |
| 147 2,520 | 147 2,520 | | | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | | | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | | | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | | | Extension for reply within first month | |
| 116 400 | 200 200 | | | Extension for reply within second month | |
| 117 920 | 460 460 | | | Extension for reply within third month | |
| 118 1,440 | 720 720 | | | Extension for reply within fourth month | |
| 128 1,960 | 228 980 | | | Extension for reply within fifth month | |
| 119 320 | 219 160 | | | Notice of Appeal | |
| 120 320 | 220 160 | | | Filing a brief in support of an appeal | |
| 121 280 | 221 140 | | | Request for oral hearing | |
| 138 1,510 | 138 1,510 | | | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | | | Petition to revive - unavoidable | |
| 141 1,280 | 241 640 | | | Petition to revive - unintentional | |
| 142 1,280 | 242 640 | | | Utility issue fee (or reissue) | |
| 143 460 | 243 230 | | | Design issue fee | |
| 144 620 | 244 310 | | | Plant issue fee | |
| 122 130 | 122 130 | | | Petitions to the Commissioner | |
| 123 50 | 123 50 | | | Processing fee under 37 CR 1.17(q) | |
| 126 180 | 126 180 | | | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | | | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 740 | 246 370 | | | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 740 | 249 370 | | | For each additional invention to be examined (37 CFR § 1.29(b)) | |
| 179 740 | 279 370 | | | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | | | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$170.00)

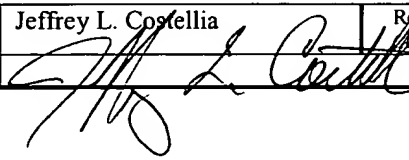
CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on _____

Name: _____

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|---|------------------|--------|-----------|-------------------|
| Name (Print/Type) | Jeffrey L. Costello | Registration No. | 35,483 | Telephone | (703) 790-9110 |
| Signature |  | Attorney/Agent | | Date | December 13, 2001 |